



Department of
Environmental
Conservation

Mohawk River Basin Program

2015 Mohawk River Watershed Grants

Round 3 Information for Applicants

NYS Grants Gateway
Application ID No.: DEC01-MRB-2015

Application Deadline: ~~2:00 P.M., December 1, 2015~~

EXTENDED DEADLINE: 2:00 P.M., December 18, 2015

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IMPORTANT INFORMATION FOR APPLICANTS

GRANTS REFORM

On May 15, 2013, a web-based grants management system, the Grants Gateway, was launched at <https://grantsgateway.ny.gov> as part of Governor Cuomo's transformation initiative to reform the State's grant contracting process by simplifying and streamlining the grants management process. The Grants Gateway is an online system that allows vendors to browse and apply for grant opportunities and will improve the way grants are administered by the State of New York. The Grants Gateway system capabilities include the following:

- **Opportunity Portal**– A one-stop location to search for available and anticipated grant opportunities from all New York State agencies. Sign up to receive notification when specific types of grant opportunities are posted.
- **Document Vault**– A secure online document repository for vendors/grantees to store and share commonly requested documents with State agencies. The Document Vault is utilized for the Vendor Prequalification Process. All not-for-profit organizations must be prequalified in the Grants Gateway system to be considered eligible to apply for a grant opportunity.
- **Online Contracts** – Ability for vendors/grantees to develop and execute contracts online.
- **Online Claims and Reporting (anticipate availability in 2016)** - Ability for contractors/grantees to develop and submit payment requests, supporting cost documentation, and project reports.

Grants Reform procedures require all applications to be developed and submitted online through the NYS Grants Gateway.

GRANTS GATEWAY REGISTRATION AND PREQUALIFICATION

All NYS grant applicants must be registered in the NYS Grants Gateway to be eligible to:

- Apply for a NYS grant opportunity.
- Enter into a grant contract, an amendment to an existing contract, or a letter of agreement.
- Apply for future grant payments.

In addition to registering, not-for-profit organizations must also complete the Vendor Prequalification process in the Grants Gateway to be considered eligible to apply for this grant opportunity. Government entities and public authorities are currently not required to complete the Vendor Prequalification Process.

CREATING ROLES IN THE GRANTS GATEWAY SYSTEM

Once your Organization is registered and prequalified (if applicable) in the Grants Gateway, the User with the Delegated Administrator Role must create additional roles to initiate, complete, and submit the application in Grants Gateway. Refer to Section 4.2 of the "Grantee User Guide", located on the Grants Reform website at www.grantsreform.ny.gov/grantees, for instructions on creating user roles in the Grants Gateway system. **This step MUST be completed to submit an application in the Grants Gateway.**

Registration and Prequalification Instructions are provided on the following pages. Additional registration and prequalification information, including a video tutorial, is available on the Grants Reform website at www.grantsreform.ny.gov/

GRANTS GATEWAY REGISTRATION INSTRUCTIONS

Registration is NOT an online process. Register now to allow time for processing!!

1. On the Grants Reform Website at www.grantsreform.ny.gov/Grantees, download a copy of the Registration Form for Administrator.
2. Complete the form according to the instructions provided. The completed form must be signed and notarized.
3. Mail the signed and notarized original form to the Division of Budget at the address provided in the instructions.
4. After the form is received and reviewed, you will be provided with a Username and Password allowing you to access the Grants Gateway.
5. Log in to the Grants Gateway at <https://grantsgateway.ny.gov>. You will be prompted to change your password at the bottom of your Profile page. Enter a new password and click the SAVE button located on the top, right-hand side of the page.

If you have previously registered and do not know your Username please email grantsreform@budget.ny.gov. If you do not know your Password, please click the **Forgot Password** link from the main log in page and follow the prompts.

NOT FOR PROFIT PREQUALIFICATION INSTRUCTIONS

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant application and contract processes. These initiatives require not-for-profit organizations to complete the Vendor Prequalification process to be considered eligible to apply for a grant.

Below is a summary of the steps to complete the prequalification requirements. The **Vendor Prequalification Manual** on the Grants Reform website at www.grantsreform.ny.gov/Grantees provides additional information and instruction.

1) Complete your Prequalification Application.

- Log in to the Grants Gateway at <https://grantsgateway.ny.gov>. If this is your first time logging in, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click the SAVE button located on the top, right-hand side of the page.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload the *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at grantsreform@budget.ny.gov.

2) **Submit Your Prequalification Application**

- After completing your Prequalification Application, click the *Submit Document Vault* button located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted, the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

BOUNDARIES FOR ELIGIBLE PROJECTS FOR MOHAWK RIVER WATERSHED GRANTS



2015 MOHAWK RIVER WATERSHED GRANTS PROGRAM (Round 3)

The New York State Department of Environmental Conservation is pleased to announce funding for projects that will implement priorities of the *Mohawk River Basin Action Agenda*- to conserve, preserve, restore, and revitalize the environmental quality of the Mohawk River watershed. Grant application information is also available on the Department's website at: <http://www.dec.ny.gov/lands/98799.html>.

I. GENERAL INFORMATION AND CONDITIONS

APPLICATION DEADLINE

All applications must be submitted in the Grants Gateway by ~~2:00 PM on December 1, 2015.~~ **2:00 P.M. on December 18, 2015**

AWARD ANNOUNCEMENT

The Department anticipates grant awards will be announced in the winter of 2015.

FUNDING

Approximately \$150,000 is available in Mohawk River Watershed Grants. Funding for this grant opportunity is provided by the NYS Environmental Protection Fund, Mohawk River Basin Program.

MINIMUM AND MAXIMUM AWARD AMOUNTS

Minimum grant amount is \$15,000.
Maximum grant amount is \$50,000.

MATCH REQUIREMENT

Grant funds are available for up to 85% of the total project cost. Applicants must provide the remaining **15% match from local funds. State or federal funding sources are not eligible to be used towards the match.**

APPLICATION LIMIT

Applicants may submit up to 2 applications. However, the applications may not be for the same project location and must address different project types as identified within this RFA.

PROJECT LOCATION

Eligible projects for grant funding must be located within defined geographic boundaries of the Mohawk River watershed. The Mohawk River watershed lies entirely within the boundaries of New York State. The Mohawk River originates in the valley between the western Adirondacks and the Tug Hill Plateau and flows 140 miles to the east where it joins the Hudson River. The Mohawk watershed comprise about one-quarter of the larger Hudson River Basin. Sections of the Mohawk River also serve as the New York State Barge (Erie) Canal.

Location: Central New York State

- All of Montgomery County
- Most of Schoharie County
- Much of Schenectady, Greene, Fulton, Herkimer and Oneida Counties; and
- Smaller parts of Albany, Saratoga, Delaware, Hamilton, Madison and Lewis Counties

A map of the boundaries is included in this RFA and may also be viewed at:
<http://www.dec.ny.gov/lands/53752.html>.

APPLICANT ELIGIBILITY

For purposes of this grant program, the following entities are considered eligible applicants:

Governmental Entities, Municipalities, and Quasi-Governmental Entities, including but not limited to, Counties, Cities, Towns, Village or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof, Public Benefit Corporations, Public Authorities, Municipal Corporations, Soil and Water Conservation Districts, School Districts, and Community Colleges, and 501(c)(3) not-for-profit corporations whose projects are located within the eligible geographic boundaries defined in this Request for Applications (RFA).

Eligible applicants must be registered in the NYS Grants Gateway in order to develop and submit an online application in the NYS Grants Gateway. Applicants must have a valid Federal Employee Identification Number (FEIN) and a New York State Vendor Identification Number in order to complete their Grants Gateway registration. If a municipality (for example, a county) passes a governing resolution authorizing a department under its jurisdiction to apply for funding, that department can apply only if they have a FEIN and a NYS Vendor ID number in their own name and are registered in the NYS Grants Gateway.

Not-for-Profit Corporation (NFP) is an organization that is subject to New York State's Not-for-Profit Corporation Law and is qualified for tax-exempt status under Section 501(c)(3) of the Federal Internal Revenue Code. ***ALL NFP APPLICANTS MUST BE REGISTERED AND PREQUALIFIED IN THE NYS GRANTS GATEWAY BY THE DUE DATE OF THIS APPLICATION TO BE CONSIDERED ELIGIBLE FOR THIS GRANT OPPORTUNITY.***

LETTERS OF PERMISSION/MUNICIPAL ENDORSEMENT

The applicant must own the property, or obtain an applicable access agreement, for the proposed project site. **Letters of permission and/or municipal endorsements are not required to be in place at the time of application. However, bonus points for project readiness are available for projects that do not require landowner permission or have all permissions and/or endorsements in place at the time of application.** To receive bonus points for project readiness, an applicant must upload in the Grants Gateway proof of ownership and/or landowner permissions (in a single PDF file) as follows:

- If the property is owned by the applicant – a copy of the current deed.
- If the property owner is a municipality – A resolution by the municipality supporting the project.
- If the property is not owned by the applicant – a formal written agreement between the applicant and landowner which allows the applicant access to the property, and represent the landowner, to accomplish the proposed project.
- If the applicant is a not-for-profit proposing a project on municipal property - a signed Municipal Endorsement. A municipal endorsement provides authorization for the not-for-profit to conduct the proposed project on municipal property. A sample municipal endorsement can be downloaded and viewed in the Pre-submission Upload section in the Grants Gateway.

MULTI-PARTNER AND INTER-MUNICIPAL PROJECTS

If a proposed project involves a cooperative agreement or partners, only an eligible, designated lead applicant can submit the application for grant funding. The lead applicant must assume the responsibility for the performance of work consistent with this RFA, the project application, and a State of New York Master Contract for Grants. The lead applicant **must obtain and upload in the Grants Gateway a partnership letter agreement from each participating partner. Partnership letters should be addressed to the applicant and must clearly state the partner's participation in the proposed project.** Partnership letters must be uploaded in the Grants Gateway as a single pdf file.

DEPARTMENT OF ENVIRONMENTAL CONSERVATION OVERSIGHT

The Department of environmental Conservation reserves the right to:

- Award additional and available funding for scored and ranked projects consistent with this grant opportunity.
- Award agreements for any or all parts of the RFA in accordance with the Method of Award or withdraw the RFA at any time at the Department's sole discretion.
- Award only one application for funding for a single project having multiple application submissions. All eligible applications will be evaluated, scored and ranked by the Department.
- Award to the next highest scoring application in the event a grantee fails to negotiate a grant contract with the Department within 45 days of a grant award.
- Monitor the progress of all grant awards and withdraw grant funding if the grantee fails to expedite or make significant and timely progress on the project, or fails to receive the necessary permissions and permits for the project.
- Not to fund projects that are determined not to be consistent with NYS's Smart Growth Public Infrastructure Policy Act.

PERMITS

Permits are not required to be in place at the time of application. However, projects that do not require permits or have all permits and determinations in place at the time of application will receive bonus points for project readiness. Information on New York State stream permits that may be involved in a project of this type can be found at www.dec.ny.gov/permits/6042.html. The applicant is responsible for ensuring that any permits, approvals, lands, easements and rights-of-way that may be required to carry out the activities of the project are obtained. To receive bonus points, applicants must upload the approved permit cover letters (in a single PDF file) into the Grants Gateway.

II. PROJECT ELIGIBILITY CRITERIA AND INFORMATION

PROJECT OBJECTIVES

Applicants may apply for projects that address one or more of the following Mohawk River Basin Action Agenda objectives:

- Conserve, protect and restore fish, wildlife and their habitats in the Mohawk River watershed;
- Protect and improve water quality in the Mohawk River watershed;
- Promote flood hazard risk reduction and enhanced flood resiliency in the Mohawk River watershed;

Please refer to the March 2015 “Mohawk River Watershed Management Plan” completed by the Mohawk River Watershed Coalition. <http://mohawkriver.org/management-plan>

MINIMUM ELIGIBILITY

- To be eligible, projects must meet at least one project objective and implement one or more of the project types identified in this RFA;
- No project that is deemed harmful to Species of Greatest Conservation Need (SGCN) or federally listed endangered species will be deemed eligible for funding.
- Project timeline must reflect project start and completion dates between **March 1, 2016 and February 28, 2018.**

PROJECT TYPES

Funding must be used to implement one or more of the following project types to meet the above objectives:

- Projects that conserve, preserve, and/or restore habitat connectivity for Species of Greatest Conservation Need (SGCN) within eco-regions that fall within the boundaries of the Mohawk River watershed as identified in the 2015 New York State Wildlife Action Plan. Projects affecting one or more SGCN species, aquatic habitat connectivity for aquatic SGCN species, including designated fishes, amphibians, reptiles, or birds.
- Invasive Species Management (ISM) – Projects which promote prevention of terrestrial or aquatic invasive species. Projects directed at aquatic invasive species must be in keeping with the priorities of the 2015 New York State Aquatic Invasive Species Management Plan. Projects that promote stewards to provide education and outreach on ISM; Projects that promote stewards conducting courtesy boat inspections. All projects must be consistent with similar programs within NYS.
- Projects that create or upgrade shoreline or waterway access opportunities in the Mohawk River watershed for boating, recreational fishing or swimming.
- Water Quality Improvement Projects such as projects that reduce stormwater runoff; implementation of best management practices to reduce pollutant loads in the watershed, both point and non-point sources; green infrastructure projects that would improve water quality in streams and/or reaches of the main-stem Mohawk.
- Projects that reduce flood risk and improve flood resiliency such as moving, elevating or flood-proofing critical structures; assessing ways to mitigate flood risk, such as evaluations of building or infrastructure mitigation options; right-sizing culverts; or restoration of natural stream conditions.

- Projects that promote Environmental Education and Stewardship Activities within the Mohawk River watershed such as engaging and teaching students, citizens, and stakeholders to become knowledgeable and effective stewards of the Mohawk River watershed ecosystem.

KNOWLEDGE, SKILLS AND EXPERIENCE

Applicants must possess the knowledge, skills, and /or track record to successfully implement the proposed project.

PROJECT TIMELINE

Applicants must provide a timeline for meeting project objectives and identified tasks between March 1, 2016 and February 28, 2018.

- Project expenditures prior to a Master Contract for Grants (MCG) term start date and after the MCG term end date are not eligible costs for reimbursement or match.

STAKEHOLDER ENGAGEMENT

Applicants are encouraged to secure the support of upstream and downstream neighbors, as well as sportsman groups, municipal leaders, highway departments, elected officials and other stakeholders whose support may be key to project success. Letters of support are a good indication of such support and will improve the scoring of an application. Letters must be submitted at the time of application. Applicants will be asked in the Grants Gateway to upload, in a single PDF file, a copy of all letters of support.

PROJECT COST EFFECTIVENESS

The cost-effectiveness of the proposed project will be evaluated as provided in the Application Review and Scoring Standards in [Section VII](#). The answer to this question, as well as the information provided in the Expenditure Budget will be used to determine scoring for cost effectiveness.

PROJECT SCORING

Applicants are strongly encouraged to review the Application Review and Scoring Standards in Section VII. Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project.

III. GRANT PROGRAM PAYMENT AND REPORTING

PAYMENT AND REPORTING

- Advance payments of up to 25% of the grant award amount may be available to not-for-profit grantees once a Master Contract for Grants (MCG) has been fully approved by all applicable State agencies. Municipalities are not eligible to receive advance payments under State Finance Law.
- Project costs incurred prior to the MCG term start date or after the MCG term end date will not be considered eligible for grant reimbursement or match. Grantees can anticipate a contract term start date of March 1, 2016 and a term end date of February 28, 2018. Copies of supporting cost documentation (paid invoices, receipts, cancelled checks, etc.) must be audited and approved by the Department for costs to be eligible for grant reimbursement.
- Quarterly MCG payment reimbursement requests will be accepted prior to submission of a final closeout reimbursement request. Approved project design, required permits and landowner permissions must be in place to submit a reimbursement request.
- Quarterly Narrative Reports must be submitted in narrative form, no later than 30 days from the end of the quarter. The reports will summarize how the project progressed towards meeting project objectives and deliverables during the quarter.
- Quarterly Expenditure Reports, detailed by object of expense as defined in the MCG Attachment B-1 Expenditure Based Budget, must accompany the quarterly Narrative Reports, no later than 30 days from the end of the quarter. These reports must correlate to subsequent vouchers submitted for payment.
- Final Report must be submitted and approved by the Department prior to the release of the final contract payment to the Grantee. ***The Contractor must submit the Final Report no later than 60 days after the end of the contract period.*** The Final Report should report on all aspects of the program and detail how the use of grant funds were utilized in achieving the goals set forth in the approved MCG Attachment C Work Plan. Copies of appropriate documents (i.e. inventory and/or management plan) must be submitted and approved by the Department.
- A Department on-site inspection may be required to confirm all work was completed in accordance to the approved project work plan.
- Any project involving volunteer time will be required to report the number of volunteers and the number of volunteer hours in their project quarterly status reports. The total number of volunteers and volunteer hours for the entire project must be reported in the Final Report.

PROJECT EXPENDITURES

- **Eligible expenditures for grant funding**

Personal Service: staff salaries directly devoted to or connected to the project, **excluding fringe (employee benefits) and indirect (overhead/operating) expenses.** Itemize salaries according to job title and roles/responsibilities on the project. Grantees will be required to document time worked, tasks, pay ratio and payment.

Contractual Services: the value of services provided by professional and technical personnel and consultants (i.e. engineering and architectural services, surveys, plans and specifications, research, design and development of a project, consultant and legal services directly related to a project, feasibility study for a facility, archaeological field work, report writing, curation of artifacts and interpretation, etc.).

Travel Costs: directly associated and required to implement the project.

Equipment: rental of equipment that is necessary to implement the project.

Other: supplies and materials directly associated with implementation of the project.

Other: advertising costs include publicity, promotion and public education directly related to an operating or functioning project.

Other: eligible land acquisitions cost must enable the acquisition of land and include: appraisals by a certified appraiser, title searches, surveys and associated legal fees. The land must be acquired and titled to the grant applicant.

Other: training costs are eligible if they are directly related to holding a training or workshop that will improve education or stewardship outcomes.

- **Ineligible expenditures for grant funding**

State and/or federal funding: project costs funded from other state and/or federal funding sources are not eligible for grant reimbursement.

Indirect costs: overhead/operating expenses (space, rent, utilities) and fringe benefits are NOT eligible for grant reimbursement.

Administrative salaries: administrative salaries are NOT eligible for grant reimbursement, but may be used as match funds. For the purposes of this RFA, administrative salaries must be clearly identified in the Expenditure Budget Personal Services Detail and are defined as follows:

- Preparation of equal employment opportunity and women and minority business enterprises documentation.
- Preparation of quarterly narrative and expenditure reports.
- Preparation of payment reimbursement request forms and backup cost documentation.
- Preparation of Final Report upon project completion.

Costs incurred prior to a grant award or outside of the contract term are **NOT** eligible for grant reimbursement

Conference Costs: costs associated with holding a conference or an event are **NOT** eligible for grant reimbursement.

MATCH REQUIREMENT AND EXPENDITURES

Grant funds are available for up to 85% of the total project cost. Applicants must provide the remaining **15% in match funds**. Portions of the project funded from other state and/or federal funding sources are not considered to be eligible forms of match.

- **Eligible forms of match**

Cash: Includes other grants from non-state or non-federal funding sources.

Personal Service: staff salaries, excluding fringe and overhead expenses, directly devoted to the project. Itemize salaries according to job title and roles/responsibilities on the project. Grantees will be required to document time worked, tasks, pay ratio and payment. **Applicants must clearly identify administrative salaries to be used towards match in the personal services detail section of the expenditure budget.**

Contractual Services: The value of services provided by professional and technical personnel and consultants (i.e. engineering and architectural services, surveys, plans and specifications, research, design and development of a project, consultant and legal services directly related to a project, feasibility study for a facility, archaeological field work, report writing, curation of artifacts and interpretation, etc.).

Equipment Usage: Compute the value according to its fair market rental value in the project location.

Other: supplies and materials at the current market value of items warehoused (not yet installed); use value current at time items were obtained.

Volunteer Labor: Skilled and professional labor can be computed at the job rate. Unskilled labor and work performed by professionals or skilled laborers in an area outside of their area of expertise must be computed at the minimum wage (For example, a lawyer donating legal services may compute the value based on the standard billing rate, but the same lawyer donating time painting walls must calculate the value using minimum wage). Documentation of time worked and tasks for each volunteer will be required.

Administrative Salaries: Up to 10% of the grant award amount may be allocated to administrative costs and applied towards the required match. Administrative salaries must be documented and identified by task, and must fall within the grant contract term to be eligible as match. For the purposes of this RFA, administrative salaries are defined as follows:

- Preparation of equal employment opportunity and women and minority business enterprises documentation.
- Preparation of quarterly narrative and expenditure reports.
- Preparation of payment reimbursement request forms and backup cost documentation.
- Preparation of Final Report upon project completion.

- **Ineligible forms of match**

- Indirect costs: overhead/operating (space, rent, utilities) expenses.
- Fringe costs: fringe costs are not an eligible form of match.
- State or Federal funding: project costs funded from other state and/or federal funding sources.

IV. APPLICATION SUBMISSION, EVALUATION AND SCORING

EVALUATION AND SCORING

All applications will be reviewed and scored by a review team in accordance with the evaluation and scoring criteria contained in this RFA. Applicants are encouraged to read and address the scoring criteria in the process of developing an application. Scoring consists of two steps:

Step 1: Application and project eligibility determination

- Pass/Fail criteria – please refer to the Application Evaluation and Scoring Standards in Section VII for the pass/fail criteria. An application that receives a ‘Fail’ in any of the Pass/Fail criteria will be disqualified from further review.

Step 2: Project evaluation and scoring

- If your application meets all eligibility criteria it will be further evaluated and scored by a review team in accordance with the Evaluation and Scoring Standards contained in this RFA. These include:
 - Evaluation of the project type, methods, budget and applicant qualifications;
 - Assessment of the project impact, and priority project eligibility.
- All eligible applications will be individually evaluated and scored by at least 3 technical review team members. Technical reviewer scores will be averaged and statewide priority points will be added to the averaged score to determine a final composite score. Applications will be selected for funding based on the highest to lowest final composite score until available funding has been exhausted. Exceptions include, the Department may, at its discretion, decide to fund only one grant project if multiple applications are received for the same project.
- **Tie breaker** - If there is a numerical tie in an applications final score, the application that scores the highest in “Project Readiness Factors” in the evaluation criteria will determine placement on the ranked list. If a tie remains, the application that scores the highest in “Project Success Factors” in the evaluation criteria number will determine placement on the ranked list. If a tie still remains, the order applications are received will determine placement on the ranked list, with the earliest application placing highest.

STATEWIDE PRIORITY POINTS

- **Priority for Alignment with Regional Economic Development (REDC) Strategies**
Governor Andrew Cuomo directed the establishment of Regional Economic Development Councils (REDC) to analyze the most significant business clusters in their respective areas and establish regional strategic priorities. Additional REDC information is available at <http://nyworks.ny.gov>. A proposed project that aligns with the strategic priorities for the region where the project site is located will be eligible to receive additional priority points in the project scoring. This can be accomplished in one of the following two ways:
 - 1.) The Applicant may obtain a recommendation from the REDC of the region where the project site is located that the proposed project aligns with priorities of the economic develop plan developed by the council. The recommendation must be included with the Application to receive additional points in the application review.

OR

- 2.) The Applicant may provide a brief description (few sentences) describing the economic benefits of the proposed project and how the project aligns with the strategies of the Regional Economic Development Council (REDC) plan. The plans are available at the

following website: <http://nyworks.ny.gov>. The applicant narrative must cite a specific REDC goal or strategy, and explain how the selected citation reasonably fits with the type of project proposed, in order to receive five (5) points in the application review.

- **Priority for Environmental Justice (EJ) Projects**

The Department demonstrates a commitment to Environmental Justice (EJ) and remedies for communities that may be burdened by negative environmental consequences. Environmental justice is defined by the DEC as the fair treatment and meaningful involvement of all people, regardless of race, color or income, with respect to the development, implementation and enforcement of environmental laws, regulations and policies. *A proposed project that is located in an EJ community or will directly benefit an EJ community, will be eligible for additional priority points in the project scoring.* Maps of EJ areas in New York State are available at: <http://www.dec.ny.gov/public/899.html>. To qualify for the extra points, you must provide at the time of application the following details:

- a.) The exact street location where the project is to be implemented (no P.O. Box) or where the benefit will be provided.
- b.) A brief (few sentences) description of how the project will benefit minority or low-income populations that experience disproportionate adverse environmental impacts such as pollution from multiple industrial facilities, sub-standard water quality, concentrated diesel emissions from bus depots, or other heavy vehicle traffic, adverse health effects related to environmental impacts (high asthma), lack of access to green benefits such as open space, environmental education or parks, or other such impacts.

V. ADDITIONAL APPLICATION REQUIREMENTS AND INFORMATION

APPLICATION REQUIREMENTS

Project compliance with state policies will be assessed, including adherence to any applicable historic preservation, coastal consistency and permit requirements, including State Environmental Quality Review (SEQR). Please be sure to include with your application, information on the following requirements, if applicable to your project:

- **Expenditure Based Budget**

Applicants must complete an itemized budget in the NYS Grants Gateway that provides details of the proposed project-related expenses. Budget detail must clearly distinguish between expenses to be claimed under the State grant share and expenses comprising the match. The itemized budget should also indicate the component, the number of units to be completed and the estimated costs associated with each component. Eligible project types and their components, and eligible and ineligible costs are identified in this RFA. A project's reasonableness of costs is at least 20% of the evaluation factor in the scoring of the application; therefore, attention to budget accuracy will increase your project score.

- **Work Plan**

Applicants must complete a work plan in the NYS Grants Gateway that provides a clear overview of the project. Applications must include proposed project objectives, tasks associated with meeting each objective, and the desired project outcome or deliverables accounted for in performance measures. The work plan may include anticipated time frames in meeting project objectives, tasks and deliverables. The time frames must be consistent with the timeline applicants are required to upload in the Grant Gateway application program.

- **Smart Growth Infrastructure Policy Act (mandatory)**

New York State's Smart Growth Public Infrastructure Policy Act (ACT), Environmental Conservation Law Article 6, requires the Department and all State infrastructure agencies to assess whether each public infrastructure project that receives state funding is consistent with the State Smart Growth Public Infrastructure criteria specified in the Act, or that compliance is considered to be impracticable, before making any commitment to fund such project(s).

In the Grants Gateway pre-submission upload section of the application, ALL applicants must download, complete and **SAVE** the Smart Growth Assessment form, prior to uploading the completed form back into the Grants Gateway. Applicants should double check their uploaded Assessment form in the Grants Gateway to make sure the form is viewable as completed.

- **Historic Preservation Review Requirements, (if applicable to your project)**

For projects that involve properties listed on the State or National Registers of Historic Places, all work undertaken as part of a grant-assisted project must conform to the Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation. Questions about or proposals for listing on the State or national Register should be directed to the OPRHP National Register Unit at (518) 237-8643. To ensure the public benefit from the investment of state funding, preservation covenants or conservation easements will be conveyed to the State (OPRHP) for all historic property grants.

APPLICATION SUBMISSION

All applicants must apply through the NYS Grants Gateway. This includes answering program questions and uploading required program documents and forms. Paper applications will NOT be accepted for this grant opportunity.

QUESTIONS AND ANSWERS

Please email all Mohawk River Watershed grant opportunity questions to Katherine Czajkowski, Mohawk Watershed Coordinator at katherine.czajkowski@dec.ny.gov. Questions regarding this grant opportunity will be accepted by the Department until C.O.B. ~~November 23, 2015.~~ **December 07, 2015**. All questions, and answers, will be uploaded in the Grants Gateway application for all applicants to view.

VI. WHAT TO EXPECT IF YOU RECEIVE AN AWARD

NOTIFICATION OF AWARD

Applicants selected to receive a grant award will be notified by email and in an official Department award letter.

STATE OF NEW YORK MASTER CONTRACT FOR GRANTS (MCG)

Applicants selected to receive a grant award will be required to execute a MCG **within 60 days** from the time of their award notification. Failure to submit timely required MCG documents could cause a grantee to lose their grant award. Applicants should review and be prepared to comply with all MCG terms and conditions should grant funding be awarded. The MCG and attachments can be reviewed and/or downloaded in the Grants Gateway HRE application under the screen named 'Contract Document Properties'. The MCG and attachments include:

- MCG Grants Face Page
- Standard Terms and Conditions (*NYS standard terms and conditions*)
- Attachment A-1 Program Specific Terms and Conditions (*Agency and Program specific terms and conditions*)
- Attachment B-1 Expenditure Based Budget (*project expense categories and detail*)
- Attachment C Work Plan (*project objectives, tasks and performance measures*)
- Attachment D Payment and Reporting Schedule (*claims for reimbursement and grant reporting provisions*)

IMPORTANT NOTE: Project related costs must be incurred within the term of the MCG to be considered eligible for reimbursement or match. Contract payments will not be approved or processed by the Department until a MCG is fully approved by the Department, and if applicable the Attorney General and the State Comptroller. All contracts must be approved by the projected contract start date of March 1, 2016.

Applicants should be prepared to comply with the following MCG requirements:

- **Insurance Requirements**

Contractors will be required to carry appropriate insurance as specified in the MGC or LOA. Attachment A-1 Program Specific Terms and Conditions, and agree that each project consultant, project contractor and project subcontractor secures and delivers to the contractor appropriate policies of insurance issued by an insurance company licensed to do business in the State of New York. Policies must name the Contractor as an additional insured, with appropriate limits, covering contractor's public liability and property damage insurance, contractor's contingency liability insurance, "all-risk" insurance and workers compensation/disability coverage for the project.

- **Permit Requirements (if applicable)**

Contractors agree to obtain all required permits, including but not limited to, local, state and federal permits prior to the commencement of any project related work. The Contractor agrees that all work performed in relation to the project by the Contractor or its agents, representatives, or contractors will comply with all relevant federal, state and local laws, rules, regulations and standards, zoning and building codes, ordinances, operating certificates for facilities, or licenses for an activity.

- **State Environmental Quality Review (SEQR) Documentation**

With respect to the project, the Contractor certifies that it has complied, and shall continue to comply with all requirements of the State Environmental Quality Review Act (SEQRA). The Contractor agrees to provide all environmental documents as may be required by the Department. The Contractor has notified, and shall continue to notify, the Department of all actions proposed for complying with the environmental review requirements imposed by SEQRA.

- **Vendor Responsibility**

Not-For-Profit contractors and/or subcontractors are subject to a vendor responsibility review by the State to ensure public dollars are being spent appropriately with responsible contractors. A vendor responsibility review may include a contractor and/or subcontractor to present evidence of its continuing legal authority to do business in NYS, integrity, experience, ability, prior performance, and organizational and financial capacity. To enroll in and use the NYS VendRep System, see the VendRep System instructions available at http://www.osc.state.ny.us/vendrep/vendor_index.htm , or go directly to the VendRep System at <https://portal.osc.state.ny.us>

- **Iran Divestment Act**

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. By entering into a Contract, the Contractor certifies that it is not on the “Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012” list (“Prohibited Entities List”) posted on the OGS website at: <http://www.ogs.ny.gov/about/regqs/docs/ListofEntities.pdf> and further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Additional detail on the Iran Divestment Act can be found in the MCG, Attachment A-1 Program Specific Terms and Conditions.

MINORITY/WOMEN BUSINESS ENTERPRISES (M/WBE) AND EQUAL EMPLOYMENT OPPORTUNITIES (EEO) REQUIREMENTS

The Department is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 (“MWBE Regulations”) for all State contracts with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.

- Applicants subject to executing a future NYS Master Contract for Grants agree, in addition to any other nondiscrimination provision of the MCG and at no additional cost to the Department, to fully comply and cooperate with the Department in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women (“EEO”) and contracting opportunities for certified minority and women-owned business enterprises (“MWBEs”). Contractor’s demonstration of “good faith efforts” pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the “Human Rights Law”) or other applicable federal, state or local laws.
- Failure to comply with M/WBE and EEO requirements may result in a Department finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages or enforcement proceedings.
- Please refer to the NYS Master Contract for Grants - Article IV.(J) and Attachment A-1 Program Specific Terms and Conditions - Article X, to review M/WBE and EEO requirements. Required M/WBE and EEO related forms can be found at <http://www.dec.ny.gov/about/48854.html>

- The local government is responsible for designating someone to serve as their Affirmative Action representative. The governing body should make this designation through official means.
- A list of certified M/WBE enterprises can be obtained via the internet from the NYS Department of Economic Development at <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=9885>
- Contracts which meet the established M/WBE-EEO thresholds require the Contractor to submit Quarterly Reports, http://www.dec.ny.gov/docs/administration_pdf/quarterly.pdf, detailing payments made by the Prime Contractor to NYS Certified M/WBEs.
- The following M/WBE-EEO “Fair Share” goals are established as follows:

Minority Business Enterprise (MBE) Participation Goals

Location/Commodity Group MBE Goals Statewide:

- Construction/Engineering - 15%
- Commodities - 15%
- Services/Technologies - 15%

Women’s Business Enterprise (WBE) Participation Goals

Location/Commodity Group WBE Goals Statewide:

- Construction/Engineering - 15%
- Commodities - 15%
- Services/Technologies - 15%

Equal Employment Opportunity (EEO) Participation Goals

- EEO Minority Workforce Participation Goals (DEC Regions 1- 9) 10%
- EEO Female Workforce Participation Goals (DEC Regions 1-9) 10%

- **DEC M/WBE Contact Person**

Michele June, Compliance Specialist
 NYS Department of Environmental Conservation
 Bureau of Contract and Grant Development/MWBE Program
 625 Broadway, 10th Floor
 Albany, New York 12233-5028
 Phone: (518) 402-9240
 Fax: (518) 402-9023

PROCUREMENT OF CONTRACTORS/SUBCONTRACTORS

Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Not-for-profit corporations must follow procurement policies that ensure prudent and economical use of public money. Failure to comply with these requirements could jeopardize full reimbursement of your approved eligible project costs.

AMERICANS WITH DISABILITIES ACT

In the event the monies defined herein are to be used for the development of facilities, outdoor recreation areas, transportation or written or spoken communication with the public, the Contractor shall comply with all requirements for providing access for individuals with disabilities as established by Article 4A of the New York State Public Buildings Law, Americans with Disabilities Act, and relevant sections of the New York State Uniform Fire Prevention and Building Code. Standards for certain Recreation Facilities are found in the 2010 ADA Standards for Accessible Design while others are found in the Architectural Barriers Act Accessibility Guidelines for Outdoor Recreation Areas <https://www.access-board.gov/guidelines-and-standards> .

VII. APPLICATION EVALUATION AND SCORING STANDARDS

(Maximum 100 points)

PROJECT PASS/FAIL CRITERIA: a “Fail” to any statement will disqualify the application

- The applicant is a municipality or 501(c)(3) not for profit organization. A not for profit organization must also be prequalified in the Grants Gateway by the application due date to be determined eligible under this grant opportunity.
- The project is located within the defined geographic boundaries of the Mohawk River Watershed.
- If applicable, the lead applicant (eligible fiscal agent) has uploaded letters of agreement from all applicant partners.
- The project implements at least one or more of the specified project objectives and implements one or more of the project types identified in the RFA.
- The uploaded project time line indicates realistic completion on or before February 28, 2018.
- All project funding sources are eligible, and at least 15% in eligible matching funds have been identified.
- The project does not adversely affect SGCN or Federally listed species.
- Application is complete in the Grants Gateway (make sure to check errors).

PROJECT TYPEmaximum 30 points

How well does the project, its location, its method and its deliverables impact the objectives of this RFA to conserve, protect and restore fish, wildlife and their habitats, protect and improve water quality, and promote flood hazard risk reduction and enhanced flood resiliency of the Mohawk River watershed.

- Project type, tasks and outcomes as described clearly meet objectives.....20 points
- Project type, tasks and outcomes as described contribute to, but do not fully meet objectives.....10 points

Bonus points for meeting more than one objective of this RFA:

- More than one objective is clearly identified to be met.....10 points
- Only one objective identified and met.....no points

PROJECT SUCCESS FACTORS maximum 40 points

Stakeholder /Community Support:

How well does the project engage key stakeholders whose support is needed for the project to succeed? Does proposal demonstrate support from other organizations, the community and/or local, county, or state elected officials? Letters of Stakeholder/Community Support provided with application.

- High Stakeholder/Community Support (more than 3).....25 points
- Some Stakeholder/Community Support.(1 to 3).....15 points
- No Stakeholder/Community Support.....0 points

Bonus points for experience (maximum 5 points):

Does the applicant possess the knowledge, skills and have a prior history with the Mohawk River Basin Program grants? If so, did the applicant demonstrate their ability to successfully fulfill the requirements of the grant program in a timely manner and/or to undertake a project of this nature?

- Applicant possesses the knowledge, skills and has prior experience with Mohawk River Basin Program grants, were responsive and completed all tasks in a timely manner.....5 points
- Applicant has no prior experience with Mohawk River Basin Program Grants.....3 points

Bonus points for project readiness (maximum 10 points)

- All required permits are secured, or does not need permits5 points
- And/or applicant is the land-owner or landowner permission is demonstrated by a letter of agreement or municipal endorsement5 points
- None of the aboveno bonus points

PROJECT COST EFFECTIVENESSmaximum 20 points

How well does the budget demonstrate value for cost? Does the budget detail adequately reflect and correspond to the work needed to produce the deliverables? Applicant may compare the project costs to other similar work and explain the balance of expenses across budget categories. To sufficiently respond to this question, applicants are encouraged to upload documentation to support specific budget items, such as standard government wage rates, current market prices of equipment, and cost-estimates from potential contractors and/or vendors.

- Budget clearly reflects and details above-average value for cost.....20 points
- Budget clearly reflects and details average value for cost.....10 points
- Budget details acceptable project cost, but is at or above fair market value.....5 points

STATEWIDE PRIORITY POINTSmaximum 10 points

Environmental Justice:

Will the proposed project benefit a designated Environmental Justice Community and has the necessary EJ application information been provided?

- If yes, add5 points

Regional Economic Development Plan and/or Regional Sustainability Plan:

Has the applicant demonstrated the project implements part of a Regional Economic Development Council (REDC) Plan and/or appropriate Regional Sustainability Plan? Has the necessary supporting application information been provided?

- If yes, add5 points

TOTAL ELIGIBLE POINTS100 points

VIII. APPLICATION CHECKLIST

Use this checklist to ensure applicant eligibility, project eligibility, and proper application completion. An application that receives a single 'Fail' in any of the Pass/Fail criteria will be disqualified. Incomplete or ineligible applications will not be evaluated for funding.

PASS/FAIL CRITERIA

___ Applicant is registered in the Grants Gateway as an eligible municipality or a not-for-profit corporation (501)(c)(3). *(pass/fail)*

___ *NOT-FOR-PROFIT ORGANIZATIONS ONLY:* Applicant is prequalified in the Grants Gateway by the application due date, and up-to-date with a charities registration number and required filings. *(pass/fail)*

___ Project is located within the defined geographical boundaries of the Mohawk River watershed. *(pass/fail)*

___ If applicable, the lead applicant has provided letters of agreement from all applicant partners. *(pass/fail)*

___ The project implements at least one or more of the specified project objectives and implements one or more of the project types identified in the RFA. *(pass/fail)*

___ Project DOES NOT adversely affect any SGCN or federally listed species. *(pass/fail)*

___ Project timeline indicates realistic completion by February 28, 2018. *(pass/fail)*

___ All project funding sources are eligible and at least 15% in eligible match has been identified. *(pass/fail)*

___ Application is complete in the Grants Gateway (make sure to check errors). *(pass/fail)*

DOCUMENTATION TO RECEIVE PROJECT READINESS POINTS (prompts provided in the Grants Gateway)

___ *Permits (if required)* – a copy of all approved permit cover letters has been loaded into the Grants Gateway in a single PDF file.

___ *Project location permission (if required)* – a copy of the appropriate documentation has been uploaded into the Grants Gateway in a single PDF file. Refer to “Landowner Permissions/Municipal Endorsements” in Section I for the required documentation applicable to your project.

___ Stakeholder letters of support.

DOCUMENTATION REQUIRED TO RECEIVE STATEWIDE PRIORITY POINTS

___ Regional Economic Development Council – a REDC recommendation has been uploaded into the Grants Gateway, OR a brief description provided by the applicant to benefit and alignment with REDC plan.

___ Environmental Justice Community – the exact project location/benefit and brief description of benefit to EJ population.

MANDATORY UPLOAD (found in Pre-submission Upload section in the Grants Gateway)

___ *Smart Growth Assessment Form* has been completed and uploaded into the Grants Gateway. **Check the uploaded Assessment Form to make sure the form is completed and not a blank form.**